United States Environmental Protection Agency

Region 9

2021 Application Guide

February 2021

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LEARN MORE ABOUT EPA's GRANT PROGRAM

Go to https://www.epa.gov/grants to obtain a broad spectrum of information and resources for applicants and recipients on EPA's grant programs, latest grant opportunities, application process, including helpful training entitled "EPA Grants Management Training for Applicants and Recipients."

New Threshold for MBE/WBE Annual Reporting

Effective June 18, 2018, the simplified acquisitions threshold has been raised from $150,000 to $250,000. Annual MBE/WBE reporting is required if the cumulative amount under Equipment, Supplies, Contractual and Other (Subwards) totals over $250,000. Refer to: RAIN-2018-G04

EPA Region 9 – Application Checklist for Financial Assistance

The following forms/information must be attached to your Grants.gov application:

1. ☐ **Application for Federal Assistance (SF 424)** with authorized signature submitted.

2. ☐ **Budget Information for Non-Construction Programs (SF 424A).** See Region 9 Sample on page 9.

3. ☐ **Budget Detail-Breakdown by Object Class Categories.** See Region 9 Sample on page 11.
   RAIN-2019-G02 at https://www.epa.gov/grants/rain-2019-g02

4. ☐ **Final Approved Work Plan** with tasks, milestones, and expected environmental results or outcomes. This is an outline of required Work Plan elements as determined by Region 9. Please contact your EPA Project Officer for details.

5. ☐ **Current Indirect Cost Rate Negotiation Agreement.** If applicable, include Rate and Signature pages (i.e., Sections 1 and 3) of the approved Indirect Cost Rate Agreement with application. **Policy on Indirect Rate Costs (IDC) effective 10/1/2018.** RAIN-2018-G02 **at** https://www.epa.gov/grants/rain-2018-g02. Prior to drawing down EPA funds for IDCs, and/or using unrecovered IDCs as cost-share, recipients must have an approved rate and an EPA-approved budget that includes IDCs.

6. ☐ **EPA Key Contacts** Form.

7. ☐ **Pre-Award Compliance Review Report (EPA Form 4700-4)**, current form with authorized signature.

8. ☐ **Certification Regarding Lobbying (EPA Form 6600-06)** with authorized signature. All applicants, including Tribes, are required to submit this certification if the total federal dollar awarded to the applicant/recipient is greater than $100,000 for the life of the grant. List of application forms located at https://www.epa.gov/sites/production/files/2014-09/documents/epa_form_6600_06.pdf

9. ☐ **Disclosure of Lobbying Activities (Form SF-LLL)**, with authorized signature attached with the grant application package. For all other applicants, form is required for reporting entity, whether subawardee or prime federal recipient, at the initiation or receipt of a covered federal action, or a material change to a previous filing, pursuant to Title 31 U.S.C Section 1352. Used by applicants to disclose lobbying activities that have been secured to influence the outcome of a Federal grant action.

10. ☐ **EPA Financial Conflict of Interest (COI) Policy.** Conflicts of Interest (COI): An actual or potential situation that undermines, or may undermine, the impartiality of an individual or non-federal entity because their self-interest conflicts, or may conflict, with their duty and obligations to EPA and the public in performing an EPA financial assistance agreement. The term also includes situations that create, or may create, an unfair competitive advantage, or the appearance of such, for an applicant in competing for federal financial assistance from EPA. If applicable, the applicant's conflict of interest disclosure statement must be prominently titled and attached to the SF 424. If applicable, attach COI statement to Form SF424. EPA's COI Policy is at https://www.epa.gov/grants/epas-financial-assistance-conflict-interest-policy.

11. ☐ Additional information for **SF424, Block #19 (if applicable):** Block 19: Is application subject to review by State under Executive Order 12372 Process?

   EPA fact sheet (information) for Applicants Intergovernmental Review Process:
   https://www.epa.gov/grants/fact-sheet-applicants-intergovernmental-review-process

   All applicants (except Tribal Governments) should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State Review process. Select the appropriate box. If "a" is selected, enter the date the application was submitted to the State SPOC (generally, applicants must submit the SF424 or summary thereof to the State SPOC to meet the requirements under Executive Order 12372).

   Click the link to find your State SPOC:
   https://www.whitehouse.gov/wp-content/uploads/2017/11/SPOC-Feb.-2018.pdf

   State of Arizona applicants can find information at:
   https://grants.az.gov/grants-and-ecivis-resources/spoc-clearinghouse

   State of California applicants can find information at:
   https://www.opr.ca.gov/clearinghouse/ceqa/federal-grants/

   State of Nevada applicants can find information at:
   https://grant.nv.gov/Grant_Resources/SPOC/SPOC_-_Number_of_grants_submitted_to_SPOC/

   Federal Register Notice dated November 24, 2020:
   https://www.federalregister.gov/documents/2020/11/24/2020-25968/agency-programs-subject-to-intergovernmental-review-under-executive-order-12372-section-204-of-the

   The Environmental Protection Agency (EPA) published an updated list of EPA financial assistance programs (effective 11/24/2020) which states may choose to review under their Single Point of Contact (SPOC) intergovernmental review processes. These programs are also eligible for intergovernmental review by directly affected state, areawide, regional, and local entities if a state does not have a SPOC or chooses not to review an application for EPA financial assistance.

*** REMINDER ***

Per 40 C.F.R. §35 Subparts A and B for continuing environmental programs, the grantee must submit its application to EPA before the beginning of the proposed funding period in order for any resulting preaward costs to be considered for reimbursement.

EPA Region 9 - Grants.gov Instructions Guide

> All EPA applications for federal assistance must be submitted through www.grants.gov

1. Getting the Funding Opportunity Number (FON)
NOTE: Do not use the "SEARCH" bar located at the top right of the screen to find Application Packages.

    A. Competitive Programs: Refer to the competitive solicitation for the applicable FON. Applicant will enter this into the "Funding Opportunity Number" field to locate the application package.

    B. Non-Competitive Discretionary Programs: Obtain FON from your EPA Point of Contact (POC). Applicant will enter this into the "Funding Opportunity Number" field to locate the application package.

    C. EPA's Continuing Environmental Programs (CEPs): The list of available Assistance Listing (formerly Catalog of Federal Domestic Assistance [CFDA]) Numbers for CEPs have been divided between two FONs. The two FONs used to access the application packages are "**EPA-CEP-01**" and "**EPA-CEP-02.**"

        Use "**EPA-CEP-01**" for Assistance Listing (CFDA) Numbers 66.001 through 66.605.
        Use "**EPA-CEP-02**" for Assistance Listing (CFDA) Numbers 66.700 through 66.931 & 66.204.

    To locate Application Package, use these FONs steps or click on the link below:
- Go to www.Grants.gov and locate "Applicants" TAB option
- Select "How to Apply for Grants"
- Click the "Search for Opportunity Package" button (Red Button - lower right side of your screen)
- Enter the FON into the "Funding Opportunity Number" field and click the "Search" button (FON is case sensitive)
- Scroll down the page to locate the Assistance Listing (CFDA number) for the application package

    https://www.grants.gov/web/grants/applicants/download-application-package.html

Please enter criteria and click Search:

    Funding Opportunity Number: [   ]

    Opportunity Package ID: [   ]

[Search]

REMINDERS:
- **Do NOT use the "SEARCH" bar located at the top right of the screen to find Application Packages.** You need to follow the instructions above using the Funding Opportunity Number (FON).
- The FON is case sensitive.
- Make sure you and others in your organization have the right role(s) and access in **Workspace**. Your organization's EBiz point of contact (POC) is the person that authorizes or assigns Grants.gov roles. Find more information at: https://www.grants.gov/web/grants/applicants/workspace-overview/workspace-roles.html
- There are a series of automated emails generated by Grants.gov during the application submission process. See a sample email on following page.
- Remember to get a Tracking Number from the technician you are speaking with when you contact Grants.gov for help/support. This Tracking Number is used to help ensure your issue(s) is fully addressed.
- You can find all Grants.gov training videos on YouTube.

Technical Questions or Issues? Please contact Grants.gov Support by phone (1-800-518-4726) or email (support@grants.gov). Help is available 24 hours a day, 7 days a week (closed during federal holidays). More info at https://www.grants.gov/web/grants/support.html

ALERT: It is important to read the automated emails generated by Grants.gov as the message provide the status of your application during the submission process. Below is a sample automated email indicating your application has been sent to the applicable funding agency with an assigned tracking number.

Sample Grants.gov Email – Application Sent To Funding Agency

From: DoNotReply@grants.gov <DoNotReply@grants.gov>
Sent: Tuesday, December 25, 2019 4:32 AM
To: Jane.Doe@happycamp.org
Subject: GRANT12345678 Grants.gov Agency Tracking Number Assignment for Application

Grantor agency has assigned the following Agency Tracking Number to your application:
e9466bf2-797a-4cfc-b013-7bb696001c1bGRANT12345678.

You will need the Agency Tracking Number when corresponding with the Grantor agency about your application.

Use the Grants.gov Tracking Number at Grants.gov to check your application's status and to review your Agency Tracking Number:

      Type: GRANT
      Grants.gov Tracking Number: GRANT12345678
      DUNS Number: 9876543210000
      AOR name: Jane Doe
      Application Name: Clean Environment Grant Program
      Opportunity Number: EPA-CEP-01
      Opportunity Name: EPA Mandatory Grant Programs

Thank you.
Grants.gov

If you have questions please contact the Grants.gov Contact Center: support@grants.gov 1-800-518-4726
24 hours a day, 7 days a week. Closed on federal holidays.
PLEASE NOTE: This email is for notification purposes only. Please do not reply to this email for any purpose.

2. Grants.gov and SAM (refer to page 9 on transition of DUNS number to UEI)

Register with Grants.gov! To submit your application to the funding agency, your organization must have a Dun & Bradstreet Number (DUNS), have an active registration/record with SAM.gov, and be registered with Grants.gov. Please allow up to four weeks to complete the Grants.gov registration process. You can find more information at:

    Register with Grants.gov = https://www.grants.gov/web/grants/register.html

    How to Apply with Grants.gov = https://www.grants.gov/web/grants/applicants/apply-for-grants.html

    Grants.gov Training Resources & Videos = https://www.grants.gov/web/grants/applicants/applicant-training.html
    Grants.gov assistance is available 24 hours a day, 7 days a week at 1-800-518-4726 or support@grants.gov (closed on federal holidays)

    SAM.gov Quick Start Guide for New Grantee = https://sam.gov/SAM/pages/public/help/samQUserGuides.jsf
    SAM.gov assistance - Federal Service Desk at 1-866-606-8220 or fsd.gov (M-F 8am-8pm ET)

    DUNS Number - Search or Request = https://fedgov.dnb.com/webform
    Assistance at 1-866-705-5711 or SAMHelp@dnb.com

    Grant Application Package = https://www.grants.gov/web/grants/applicants/download-application-package.html

Assistance Listing (CFDAs) Under EPA-CEP-01

CFDA Number	Program Title
66.001	Air Pollution Control Program Support
66.032	State Indoor Radon Grants
66.034	Surveys, Studies, Research, Investigations, Demonstrations, and Special Purpose Activities Relating to the Clean Air Act
66.038	Training, Investigations, and Special Purpose Activities of Federally-Recognized Indian Tribes Consistent with the Clean Air Act (CAA), Tribal Sovereignty and the Protection and Management of Air Quality
66.040	State Clean Diesel Grant Program
66.042	Temporally Integrated Monitoring of Ecosystems (TIME) and Long-Term Monitoring (LTM) Program
66.121	Puget Sound Protection and Restoration: Tribal Implementation Assistance Program
66.124	Coastal Wetlands Planning Protection and Restoration Act
66.125	Lake Pontchartrain Basin Restoration Program (PRP)
66.202	Congressionally Mandated Projects
66.418	Construction Grants for Wastewater Treatment Works
66.419	Water Pollution Control State, Interstate, and Tribal Program Support
66.432	State Public Water System Supervision
66.433	State Underground Water Source Protection
66.437	Long Island Sound Program
66.454	Water Quality Management Planning
66.456	National Estuary Program
66.458	Capitalization Grants For Clean Water State Revolving Funds
66.460	Nonpoint Source Implementation Grants
66.466	Chesapeake Bay Program
66.468	Capitalization Grants for Drinking Water State Revolving Funds
66.469	Great Lakes Program
66.472	Beach Monitoring and Notification Program Implementation Grants
66.473	Direct Implementation Tribal Cooperative Agreements
66.481	Lake Champlain Basin Program
66.482	Disaster Relief Appropriations Act (DRAA) Hurricane Sandy Capitalization Grants For Clean Water State Revolving Funds
66.483	Disaster Relief Appropriations Act (DRAA) Hurricane Sandy Capitalization Grants for Drinking Water State Revolving Funds
66.508	Senior Environmental Employment Program
66.517	Regional Applied Research Efforts (RARE)
66.518	State Senior Environmental Employment Program
66.600	Environmental Protection Consolidated Grants for the Insular Areas - Program Support
66.605	Performance Partnership Grants

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Grants.gov Instructions Guide

Continuing Environmental Programs (CEP's)

(EPA Mandatory Grant Programs)

ATTACHMENT

Assistance Listing (CFDAs) Under EPA-CEP-02

CFDA Number	Program Title
66.204	Multipurpose Grants for States and Tribes
66.442	Assistance for Small And Disadvantaged Communities Drinking Water Grant Program
66.444	Lead Testing in School And Child Care Program Drinking Water
66.700	Consolidated Pesticide Enforcement Cooperative Agreements
66.701	Toxic Substances Compliance Monitoring Cooperative Agreements
66.707	TSCA Title IV State Lead Grants Certification of Lead-Based Paint Professionals
66.716	Research, Development, Monitoring, Public Education, Outreach, Training, Demonstrations, and Studies
66.801	Hazardous Waste Management State Program Support
66.802	Superfund State, Political Subdivision, and Indian Tribe Site- Specific Cooperative Agreements
66.804	Underground Storage Tank Prevention, Detection and Compliance Program
66.805	Leaking Underground Storage Tank Trust Fund Corrective Action Program
66.808	Solid Waste Management Assistance Grants
66.809	Superfund State and Indian Tribe Core Program Cooperative Agreements
66.817	State and Tribal Response Program Grants
66.926	Indian Environmental General Assistance Program (GAP)
66.931	International Financial Assistance Projects Sponsored by the Office of International Affairs

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NOTE: Changes in the "Unique Entity Identifier Information"

Starting in December 2020, the D-U-N-S® number will no longer be the official identifier for doing business with the U.S. Government.

Through December 2020, IAE systems will be transitioning from the DUNS® to a SAM-generated Unique Entity ID (UEI).

https://www.gsa.gov/about-us/organization/federal-acquisition-service/office-of-systems-management/integrated-award-environment-iae/iae-information-kit/unique-entity-identifier-update

To get information on this change you can listen to and view a presentation on beta.SAM.gov by selecting the Unique Entity Identifier video link from the above website. The questions and answers submitted by the audience will be available at gsa.gov/entityID.

As you may be aware, we are making changes to the unique entity identifier that is used to do business with the federal government. Currently, we use the proprietary D-U-N-S® number as the unique entity identifier for doing business with the government. We are moving to a new, non-proprietary identifier that will be requested in, and assigned by, the System for Award Management (SAM.gov).

An announcement has been posted in the Federal Register to give notice about the new UEI which includes the standard for the identifier.

Further updates about the unique entity ID can be found here: gsa.gov/entityID.

Questions related to government implementation can be directed to entityvalidation@gsa.gov. All media questions should be directed to the GSA Media Affairs at press@gsa.gov.

Region 9
Sample

COMPLETED BUDGET SF424A AND BUDGET DETAIL
(BREAKDOWN BY OBJECT CLASS CATEGORIES)

SAMPLE

6. Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY				Total
	(1) Federal	(2) Recipient Cost-Share (if required)	(3)	(4)	(5)
a. Personnel	$ 18,631	$ 4,800	$	$	$ 23,431
b. Fringe Benefits	5,776	1,488			7,264
c. Travel	7,142	0			7,142
d. Equipment	23,500	0			23,500
e. Supplies	7,325	0			7,325
f. Contractual	136,720	20,000			156,720
g. Construction					
h. Other	39,000	2,811			41,811
i. Total Direct Charges (sum of 6a-6h)					$
j. Indirect Charges	14,480	0			$ 14,480
k. TOTALS (sum of 6i and 6j)	$ 252,574	$ 29,099	$	$	$ 281,673
7. Program Income	$	$	$	$	$

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Standard Form 424A (Rev. 7- 97)
Prescribed by OMB (Circular A -102) Page 1A

SECTION C - NON-FEDERAL RESOURCES				
(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e)TOTALS
8. Lust Trust Fund (LUST) Corrective Action Program	$ 29,099	$	$	$ 29,099
9.				
10.				
11.				
12. TOTAL (sum of lines 8-11)	$ 29,099	$	$	$ 29,099

SECTION D - FORECASTED CASH NEEDS					
	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
13. Federal	$ 252,574	$ 63,143	$ 63,143	$ 63,144	$ 63,144
14. Non-Federal	$ 29,099	7,274	7,275	7,275	7,275
15. TOTAL (sum of lines 13 and 14)	$ 281,673	$ 70,417	$ 70,418	$ 70,418	$ 70,418

SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT				
(a) Grant Program	FUTURE FUNDING PERIODS (YEARS)			
	(b)First	(c) Second	(d) Third	(e) Fourth
16.	$	$	$	$
17.				
18.				
19.				
20. TOTAL (sum of lines 16 - 19)	$	$	$	$

SECTION F - OTHER BUDGET INFORMATION	
21. Direct Charges: $281,673 (Personnel and Fringe)	22. Indirect Charges: $14,480
23. Remarks: INDIRECT COST RATE = 28%	

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RAIN-2019-G02:   Interim General Budget Development Guidance
for Applicants and Recipients of EPA Financial Assistance
https://www.epa.gov/grants/rain-2019-g02

– Budget Detail/Narrative -- Sample from Appendix 2 of RAIN-2019-G02

Please note: Both federal and non-federal funds must be listed in the budget detail/narrative

Background. This fictitious sample budget detail/narrative is based on a hypothetical EPA assistance agreement supporting an Urban Waters project that involves water quality sampling, analysis of the results, and outreach to the community to encourage efforts to improve water quality. The agreement requires a recipient cost share of 10% of total project costs.

Notes:

- The applicant should identify its equipment cost threshold if it is lower than the $5,000 level specified at 2 CFR 200.33

- The sample calls for the applicant to attach its negotiated indirect cost rate agreement. If an applicant does not have an indirect cost rate it should attach an explanation of how indirect costs, if any, are determined in accordance with the budget guidance. For more information about indirect costs, refer to indirect cost policy, guidance, and training in RAIN-2018-G02.

Budget Detail/Narrative Sample:

Personnel:

	Requested from EPA	Cost Share provided by applicant (if applicable)	Total
Salaries and Wages			
(1) Project Manager @ $47/hr x 323 hours	$15,181		$15,181
(1) Project Assistant @ $24/hr x 200 hours		$4,800	$4,800
(1) Community Relations Coordinator @ $23/hr x 150 hours	$3,450		$3,450
Total	$18,631	$ 4,800	**$23,431**

Fringe Benefits:

Rate/Base/Composition	Requested from EPA	Cost Share provided by applicant (if applicable)	Total
31% of Personnel costs (FICA, retirement, health, vacation, sick leave)	$5,776	$1,488	**$7,264**

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Travel:

See Narrative Note 1.	Requested from EPA	Cost Share provided by applicant (if applicable)	Total
2 National Conferences including lodging, air, per-diem and registration fees for 2 employees. *(See Narrative Note 2.)*	$4,492		$4,492
Local travel for sampling and meetings. (P.O.V. @ $0.58 per mile and actual cost for public transit)	$150		$150
Travel to one-week training course on innovative sampling techniques including lodging, train and per-diem for 1 employee. *(See Narrative Note 3.)*	$2,500		$2,500
Total	$7,142		**$7,142**

Equipment: (Equipment Capitalization Threshold = $5,000)

Description	Purpose	Unit Cost	Quantity	Requested from EPA	Cost Share provided by applicant (if applicable)	Total
Microwave Digester	Lab Analysis	$17,500	1	$17,500		$17,500
12 Foot Motorized Skiff and trailer. *(See Narrative Note 4.)*	Sampling		1	$6,000		$6,000
Total				$23,500		**$23,500**

Supplies

Type	Requested from EPA	Cost Share provided by applicant (if applicable)	Total
Computer Software	$2,500		$2,500
Office Supplies (pens, pencils, paper, chairs, etc.)	$825		$825
2 Lap Top Computers @ $2000 each.	$4,000		$4,000
Total	$7,325		**$7,325**

Contractual

Contractual * (competitive process will be used to determine contractors when required by regulation)	Requested from EPA	Cost Share provided by applicant (if applicable)	Total
Advertising for public meetings (Newspapers)	$1,000		$1,000
Environmental Sampling Firm to design sampling protocol and assist with data evaluation.	$120,000	$20,000	$140,000
Community Meeting Facilitator - $524/ day x 30 days (rate complies with limitation on individual consultant fees)	$15,720		$15,720
Total	$136,720	$20,000	**$156,720**

Other

Type	Requested from EPA	Cost Share provided by applicant (if applicable)	Total
Postage for Flyers for Community meetings.		$611	$611
Subaward to Friends of the Wolf River *(See Narrative Note 5)*	$30,000		$30,000
Participant Support Cost: Travel to National Conference for 4 Community Members *(See Narrative Note 6)*	$9,000	$1,000	$10,000
Printing Costs (Occasional use of large copiers at Office Depot).		$1,200	$1,200
Total	$39,000	$2,811	**$41,811**

Indirect Costs:

Base (See Narrative Note 7)	Requested from EPA	Cost Share provided by applicant (if applicable)	Total
26% of Personnel and Fringe Benefits and first $25,000 of Subaward Costs	$14,480		**$14,480**

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Total Budget Summary

	Requested from EPA	Cost Share provided by applicant (if applicable)	Total
Personnel	$18,631	$ 4,800	**$23,431**
Fringe Benefits	$5,776	$1,488	**$7,264**
Travel	$7,142		**$7,142**
Equipment	$23,500		**$23,500**
Supplies	$7,325		**$7,325**
Contractual	$136,720	$20,000	**$156,720**
Other	$39,000	$2,811	**$41,811**
Indirect Costs	$14,480		**$14,480**
Total	**$252,574**	**$29,099**	**$281,673**

Recipient cost share calculation: $29,099 / $281,673 = 10.33%

Narrative Note 1. There is no international travel for this project.

Narrative Note 2. The Project Manager and Community Relations Coordinator will make presentations on interim and final project results at the 2019 and 2020 National Urban Waters conferences. Travel reimbursement will be based on GSA per-diem rates.

Narrative Note 3. The Program Assistant will attend a one-week training on innovative sampling techniques at Tulane University.

Narrative Note 4. Our equipment threshold is $5,000. We have determined based on the frequency and timing of the sampling activity that purchasing a small motorized skiff and a trailer is more cost effective than boat rentals. Additionally, some sampling will take place in remote areas in which boat rentals are not available.

Narrative Note 5. We will partner with Friends of the Wolf River to encourage community participation in the project. Friends is a 501(c)(3) nonprofit organization that promotes conservation of the Wolf River. Among other things, Friends will pay stipends and travel support to community members who attend focus groups and participate in training to prevent disposal of cooking grease in household drains. Friends of Wolf River understands that the stipends and participant travel are Participant Support costs that are excluded from its Modified Total Direct Cost base for distributing indirect costs.

Narrative Note 6. Four community members (non-staff) will attend the 2019 and 2020 National Urban Waters conferences (two at each conference) to participate in our presentations.

Narrative Note 7. We have attached our most recent negotiated indirect cost rate agreement.